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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/400,649

09/21/1999

ANDREW J. SZABO

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EXAMINER

AL HASHEMI, SANA A

ART UNIT

PAPER NUMBER

2156

MAIL DATE

DELIVERY MODE

08/14/2009

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 09/400,649	<b>Applicant(s)</b> SZABO, ANDREW J.	
	<b>Examiner</b> Sana Al-Hashemi	<b>Art Unit</b> 2156	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 09 July 2009.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 29-33,36-45,47-50,52-58,67 and 69-76 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 29-33,36-45,47-50,52-58,67 and 69-76 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)            | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | Paper No(s)/Mail Date. _____                                      |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>9/21/99</u> .   | 6) <input type="checkbox"/> Other: _____                          |

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### **DETAILED ACTION**

This action is issued in response to amendment/RCE filed 7/9/09.

Claims 1-28, 34-35, 46, 51, 59-66, and 68, were canceled. Claims 29-33, 36-45, 47-50, 52-58, 67, 69-74 were amended. Claims 75-76 were added.

### ***Continued Examination Under 37 CFR 1.114***

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 7/9/09 has been entered.

### ***Information Disclosure Statement***

The listing of references in the Search Report is not considered to be an information disclosure statement (IDS) complying with 37 CFR 1.98. 37 CFR 1.98(a)(2) requires a legible copy of: (1) each foreign patent; (2) each publication or that portion which caused it to be listed; (3) for each cited pending U.S. application, the application specification including claims, and any drawing of the application, or that portion of the application which caused it to be listed including any claims directed to that portion, unless the cited pending U.S. application is stored in the Image File Wrapper (IFW) system; and (4) all other information, or that portion which caused it to be listed. In addition, each IDS must include a list of all patents, publications,

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applications, or other information submitted for consideration by the Office (see 37 CFR 1.98(a)(1) and (b)), and MPEP § 609.04(a), subsection I. states, "the list ... must be submitted on a separate paper." Therefore, the references cited in the Search Report have not been considered. Applicant is advised that the date of submission of any item of information or any missing element(s) will be the date of submission for purposes of determining compliance with the requirements based on the time of filing the IDS, including all "statement" requirements of 37 CFR 1.97(e). See MPEP § 609.05(a). Applicant is required to use the USPTO-1449 form. Correction is required.

### ***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Regarding claim 76, the word "means" is preceded by the word(s) "for" in an attempt to use a "means" clause to recite a claim element as a means for performing a specified function. However, since no function is specified by the word(s) preceding "means," it is impossible to determine the equivalents of the element, as required by 35 U.S.C. 112, sixth paragraph. See *Ex parte Klumb*, 159 USPQ 694 (Bd. App. 1967). Clarification is required.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

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A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 29-33, 35-50, 52-59, 61-66 and 74-76 are rejected under 35 U.S.C. 102(e) as being anticipated by Mayaud (U.S. Patent 5,845,255).

Claim 29: FIG. 7 of Mayaud discloses a computer-implemented method for presenting records to a user comprising a user interface which receives input from a user in the form of a medical condition to evaluate records (medications) for prescription to a patient based on the data received from the user input device. In the case of FIG. 7, the user input is the condition "PUD/Gastritis". Subsets of records (suggested medications) are then automatically created based upon the classification of information (formulary/non-formulary drugs) and the user input ("PUD/Gastritis").

As described at col. 39, lines 43-54, the system allows determination of economic parameters (cost of a drug) and allows physician to select a drug or block of drugs based on cost.

As described at col. 39, lines 55-67, the initially selected drug can be evaluated in accordance with the patient's history record. That record includes a listing of drug allergies (col. 19, lines 28-30). Drug allergies are a statistical risk associate with a record of a drug in a database.

The resulting output is shown in FIG. 11, and will include a drug or drug that has been automatically (by computer) optimized for both the risk to the patient and the economic cost.

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This is considered to be an automatic optimization since it is performed by the assistance of a computer program, and a joint optimization since it considers two separate variables.

Claim 30: The user input ("PUD/Gastritis") is health information.

Claim 31: Col. 19, lines 28-30 call for the input of patient allergies, which reads as an input of data pertaining to risk tolerance.

Claim 32: FIG. 7 is a user interface.

Claim 33: The economic parameters which are considered (col. 39, lines 44-54) pertain to cost.

Claim 36: In FIG. 7, the user can input a preference, such as a preference for formulary or non-formulary medications.

Claim 37: The user feedback is a selection of a drug for a patient. If the user receives warnings about that drug (col. 40, lines 1-19), the drug selection can be cancelled and another drug selection made.

Claim 38: Col. 39, lines 44-54 outline a plurality of different optimization procedures which can be followed.

Claim 39: Col. 9, lines 44-45 call for the creation of an electronic prescription which is transmitted electronically to a pharmacy. This inherently leads to the transaction of a sale of a medication at a pharmacy.

Claim 40: The transmission of the electronic prescription is a transmission between a server (206) and a client computer at a pharmacy.

Claim 41: The system of Mayaud utilizes the Internet (col. 48, line 2).

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Claim 42: The system of Mayaud is implemented by a network of a computer systems each containing programmed instructions for controlling the respective computers.

Claim 43: FIG. 7 is a graphic user interface.

Claim 44: See claim 29. The user relevance parameter is the input of ("PUD/Gastritis") by the user in FIG. 7.

Claim 45: See remarks for claim 30.

Claim 47: See remarks for claim 41.

Claim 48: See remarks for claim 33.

Claim 49: Col. 40, lines 1-10 discuss the presentation of drugs, as well as choices of alternative drugs that can be presented to the user. These choices are presented based upon the user input of risks (allergies/interactions) and economic parameters (cost).

Claim 50: The input of a disease by a user, such as "PUD/Gastritis" pertains a population grouping, since a population of patients can have this disease.

Claim 52: See remarks for claim 37.

Claim 53: See remarks for claim 38.

Claim 54: See remarks for claim 39.

Claim 55: See remarks for claim 40.

Claim 56: See remarks for claim 41.

Claim 57: See remarks for claim 42.

Claim 58: See remarks for claim 43.

Claim 59: See remarks for claim 29. The "specification" is the indication of disease "PUD/Gastritis" by the user in FIG. 7.

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Claim 61" See remarks for claim 38.

Claim 62: Col. 19, line 30 calls for the input of a relevance profile (allergic reaction information).

Claim 63" See remarks for claim 39.

Claim 64: See remarks for claim 41.

Claim 65" See remarks for claim 42.

Claim 66: See remarks for claim 43.

Claim 74: Col. 39, line 50 illustrates that the economic parameters are dictated by an external third party (benefit Management Company).

### ***Response to Arguments***

Applicant's arguments filed 7/9/09 have been fully considered but they are not persuasive.

Examiner has considered applicant's arguments and amendments with respect to the rejection of claims 29-33, 35-50, 52-59, 61-66 and 74-76 as being anticipated under 35 USC 102(e) by Mayaud. Applicant argues that Mayaud does not disclose an automatic joint optimization of variables. Examiner maintains that Mayaud does have this feature. In particular, col. 39, lines 43- 54 describe drug cost as an economic parameter that is first considered. Then, in col. 39, lines 55-67, the patient's history is considered. Since the patient's history includes a statistical risk (risk of allergy), this becomes the statistical risk parameter in the optimization process. The system then makes a drug selection upon consideration of all the input parameters, not just one parameter. Thus the optimization is jointly based upon all of the input parameters,

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not just one single parameter. The optimization is automatic by reason that it is performed with the assistance of a computer program.

***Point of Contact***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Sana Al-Hashemi whose telephone number is 571-272-4013. The examiner can normally be reached on 8Am-4:30Pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Pierre Vital can be reached on 571-272-4125. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Sana Al-Hashemi/  
Primary Examiner, Art Unit 2156  
August 13, 2009

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